# Supplementary Agenda

West Dunbartonshire COUNCIL

## Audit & Performance Review Committee

**Date:**    Wednesday, 8 June 2016

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**Time:**    10:00

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**Venue:**    Committee Room 3,
Council Offices, Garshake Road, Dumbarton

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**Contact:**    Craig Stewart, Committee Officer
Tel: 01389 737251  craig.stewart@west-dunbarton.gov.uk


Dear Member

**ITEM 5 AUDIT ACTION PLANS - TO FOLLOW APPENDICES**

With reference to the agenda for the above Meeting of the Audit & Performance Review Committee which was issued on 26 May 2016, I now attach for your attention a copy of the item which was not available for issue at that time.

Yours faithfully

**JOYCE WHITE**

Chief Executive

Note referred to:-

**5    AUDIT ACTION PLANS**                                      **3 - 21**

Submit appendices to report by the Strategic Lead – Resources on the above.

**Distribution:**

Councillor J McColl (Chair)
Councillor G Black
Councillor J Brown
Councillor P McGlinchey
Councillor I Murray (Vice Chair)
Councillor T Rainey
Councillor G Robertson
Councillor M Rooney
Mr SJ Doogan

All other Councillors for information


Chief Executive
Strategic Director – Transformation & Public Service Reform
Strategic Director – Regeneration, Environment & Growth
Chief Officer of West Dunbartonshire Health & Social Care Partnership


Date of issue: 3 June 2016

# Appendix A
# Internal Audit Reports (Recently Issued)

**Generated on:** 01 June 2016

West **Dunbartonshire** C O U N C I L

| | Action Status |
|---|---|
| ▣ | Cancelled |
| ⬤ | Overdue; Neglected |
| ⚠ | Unassigned; Check Progress |
| ▶ | Not Started; In Progress; Assigned |
| ✅ | Completed |

**Project** 94. SEEMIS (Report Issued April 2016)

| Recommendation | Agreed Action | Status | Progress Bar | Original Due Date of Action | Actual Due Date of Action | Assigned To | Note |
|---|---|---|---|---|---|---|---|
| 1. Active SEEMiS Users<br>It is recommended that Educational Services make all 'blank' accounts inactive and have any wrong information corrected. The Department should then liaise with HR to remove all former employees or any staff that no longer require access from the active users list.<br><br>(Medium Risk) | This is an ongoing process which will be completed during session 2016/17. | ▶ | 50% | 31-Mar-2017 | 31-Mar-2017 | Andrew Brown | Click+Go users were checked for blank entries and any found were corrected. Schools were notified that they had to mark end dates on accounts of staff members who leave as and when required rather than leaving it until there were a large group to be done. Comparison checks with HR21 will be carried out bi-annually for quality assurance purposes. |
| 2. 'Unknown' Users of SEEMiS<br>Educational Services should ask SEEMiS to delete all | Educational Services requested this of SEEMiS and has now been actioned. | ✅ | 100% | 30-Apr-2016 | 30-Apr-2016 | Andrew Brown | Complete. |

| Recommendation | Agreed Action | Status | Progress Bar | Original Due Date of Action | Actual Due Date of Action | Assigned To | Note |
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| such cases from the system.<br><br>(Medium Risk) | | | | | | | |
| 3. Password Complexity<br>It is recommended that SEEMiS is requested to use the WDC Password system as introduced in November 2015 for WDC users.<br><br>(Medium Risk) | This has now been put in place through consultation with SEEMiS. | ✅ | 100% | 30-Apr-2016 | 30-Apr-2016 | Andrew Brown | Complete. |

**Project** 95. Overtime and Additional Working 2015 - 16 (Report Issued April 2016)

| Recommendation | Agreed Action | Status | Progress Bar | Original Due Date of Action | Actual Due Date of Action | Assigned To | Note |
|---|---|---|---|---|---|---|---|
| 1. Actions to Reduce Overtime<br>It is recommended that the Head of Finance and Resources reminds departments that they should continue to explore opportunities to reduce overtime. Areas that could be explored include:<br>- Where supply lists of staff are kept, departments should ensure these are large enough to cope with demands<br>- Explore areas where flexible work patterns could reduce the need for out of hours overtime<br>- Care at Home and Residential Care supply lists should be further developed so that staff in either list can be used in either section<br>- If they are not already in | The recommendation is agreed and all departments will be reminded of the actions required. | ✅ | 100% | 31-May-2016 | 31-May-2016 | Stephen West | Strategic Directors and Strategic Leads have been reminded on the actions required. |

| Recommendation | Agreed Action | Status | Progress Bar | Original Due Date of Action | Actual Due Date of Action | Assigned To | Note |
|---|---|---|---|---|---|---|---|
| place, links should be developed with Working4U, which could further enhance the supply lists.<br><br>(Medium Risk) | | | | | | | |

<table>
<tr><td colspan="8"><strong>Project</strong> 96. Non Domestic Rates Billing (Report Issued April 2016)</td></tr>
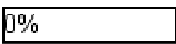</table>

| Recommendation | Agreed Action | Status | Progress Bar | Original Due Date of Action | Actual Due Date of Action | Assigned To | Note |
|---|---|---|---|---|---|---|---|
| 1. Write-Off Authorisation<br><br>Written authorisation for all Non Domestic Rates write-offs should be obtained prior to processing the write-off through the system.<br><br>(Low Risk) | Amended process now in place. | ✅ | 100% | 30-Apr-2016 | 30-Apr-2016 | Stella Kinloch | Complete. |
| 2. Risk Register<br><br>The existing risk register for NDR should be recorded on Covalent.<br><br>(Low Risk) | Record on Covalent in line with audit request. | ✅ | 100% | 30-Jun-2016 | 30-Jun-2016 | Stella Kinloch | Complete. |
| 3. Account Suspensions<br>Where the Senior Clerical Assistant reviews suspensions prior to follow-up and notes that the NDR Supervisor has input a suspension, the checking of the suspension should be carried out by the NDR Team Leader and not the NDR Supervisor as was the previous practice. | Amended process now in place. | ✅ | 100% | 30-Apr-2016 | 30-Apr-2016 | Stella Kinloch | Complete. |

| Recommendation | Agreed Action | Status | Progress Bar | Original Due Date of Action | Actual Due Date of Action | Assigned To | Note |
|---|---|---|---|---|---|---|---|
| (Low Risk) | | | | | | | |

**Project** 97.  Asset Management Strategy - Vehicles (Report Issued April 2016)

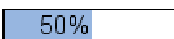| Recommendation | Agreed Action | Status | Progress Bar | Original Due Date of Action | Actual Due Date of Action | Assigned To | Note |
|---|---|---|---|---|---|---|---|
| 1. Review of the Vehicle Fleet Asset Management Plan<br>It is recommended that the Vehicle Fleet Asset Management Plan be updated for the following reasons:<br>. Continuing financial constraints<br>. The requirement for a 'Vehicle Fleet Replacement Programme' for the years 2017 to 2022.<br>. EU directives on carbon dioxide emissions for fleet cars and vans.<br>. The Scottish Government's commitment to convert public sector fleets to electric vehicles<br>. Possible changes to client department needs.<br><br>(Medium Risk) | The current Vehicle Fleet Asset Management Plan will be updated by end September 2016. | ▶ | 0% | 30-Sep-2016 | 30-Sep-2016 | Rodney Thornton | |
| 2. Vehicles failing to comply with routine maintenance schedules<br>All departments should be reminded of the necessity of following the recommended maintenance schedules.<br><br>(Medium Risk) | Fleet vehicle user Department Service Managers will be further notified of the importance of compliance with the vehicle maintenance servicing/inspection schedules and be re-issued with the | ✅ | 100% | 27-May-2016 | 27-May-2016 | Rodney Thornton | Departmental contacts emailed with a reminder and, where necessary, re-issued with the relevant servicing schedule for the fleet vehicles under their operational. |

| Recommendation | Agreed Action | Status | Progress Bar | Original Due Date of Action | Actual Due Date of Action | Assigned To | Note |
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| | maintenance programme/ calendar for the fleet vehicles assigned to them. | | | | | | |
| 3. Vehicle Procurement<br><br>3.a The Fleet and Waste Services Section should maintain records of any tendering or discussions with user departments that have taken place, to demonstrate that the best option has been achieved.<br><br>3.b Any important information should not be held on one hard drive but should be backed up to a shared drive.<br><br>(Low Risk) | 3.a As a result of a joint meeting held on 13 January 2016, involving Stephen West, Strategic Lead – Resources, Darrell Slevin, Director - Treasury Solutions, Capita Asset Services (the Council's treasury advisers) and Rodney Thornton, Fleet and Waste Services Manager, it was agreed that for future vehicle procurement exercises the following process will followed;<br>1) Through Scotland Excel, Fleet and Waste Services will obtain prices for the purchase of replacement vehicles.<br>2) Fleet and Waste Services will forward the purchase prices obtained and vehicle specifications to Capita Asset Services.<br>3) Capita Asset Services will carry out comparative analysis to establish whether the vehicles should be capital purchased or leased.<br>4) Where it is established that capital | ✅ | 100% | 04-May-2016 | 04-May-2016 | Rodney Thornton | Complete. |

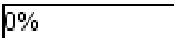| Recommendation | Agreed Action | Status | Progress Bar | Original Due Date of Action | Actual Due Date of Action | Assigned To | Note |
|---|---|---|---|---|---|---|---|
| | purchase is the preferred option, Capita Asset Services will liaise with The Procurement Partnership Ltd (TPPL) to benchmark the prices quoted and establish if the prices obtained through Scotland Excel can be improved upon. 5) Purchase orders will thereafter be placed with vehicle suppliers on the basis of the most economically advantageous offer submitted through this process<br><br>3.b Information relating to vehicle procurement is now backed up to a shared drive. | | | | | | |
| 4. Performance Indicators<br>It is recommended that the new fleet management system is introduced as soon as possible, in order to benchmark with other local authorities and confirm that performance is satisfactory.<br><br>(Low Risk) | Arrangements are being made to ensure that performance network information will be submitted to APSE from financial year 2016/17. | ▶ | 0% | 31-Mar-2017 | 31-Mar-2017 | Rodney Thornton | |
| 5. Licence Endorsement Policy<br>There should be a standard policy that confirms what actions, if any, will be taken in the event of drivers having their licences endorsed / withdrawn. Staff should be aware of their | Discussions will be held with Audit & Risk (in-house Insurance team) and the Council's Vehicle Fleet Insurers to establish best practice for managing vehicle fleet drivers incurring endorsement(s) (Penalty | ▶ | 0% | 31-Aug-2016 | 31-Aug-2016 | Rodney Thornton | |

| Recommendation | Agreed Action | Status | Progress Bar | Original Due Date of Action | Actual Due Date of Action | Assigned To | Note |
|---|---|---|---|---|---|---|---|
| responsibilities when driving Council vehicles and the consequences if they do not meet those standards.<br><br>(Low Risk) | Points) on their driving licences with a view to adopting such best practice as policy. | | | | | | |
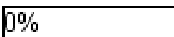
**Project** 98. ICT Infrastructure Management (Report Issued May 2016)

| Recommendation | Agreed Action | Status | Progress Bar | Original Due Date of Action | Actual Due Date of Action | Assigned To | Note |
|---|---|---|---|---|---|---|---|
| 1. Patch Management<br>Although a system is in place to systematically check and deploy Microsoft patches, improvements could be made to replicate this for non Microsoft patches.<br><br>(Medium Risk) | A review of the current planned maintenance schedule and scope is underway with a view to increasing the level of patching being carried out. | ▶ | 60% | 31-Dec-2016 | 31-Dec-2016 | Brian Miller | May 16 - Three of the five milestones completed. Work ongoing to develop new formalised maintenance schedule to increase patching being carried out. |
| 2. Review of Alerts and Logs<br>A system should be established to proactively review logs and alerts for unusual network activity which could potentially highlight security incidents before they take hold<br><br>(Medium Risk) | A review of the resourcing required has been completed and additional resource agreed to undertake this additional work. | ▶ | 50% | 31-Oct-2016 | 31-Oct-2016 | Brian Miller | May 16 - Three of six milestones completed. Recruitment process underway |

| Project 99. Web based applications (Report Issued May 2016) | | | | | | | |
|---|---|---|---|---|---|---|---|

| Recommendation | Agreed Action | Status | Progress Bar | Original Due Date of Action | Actual Due Date of Action | Assigned To | Note |
|---|---|---|---|---|---|---|---|
| 1. Security Scanning<br>(i) Web facing application controls and services must be security tested prior to implementation and regularly scanned, at least annually thereafter with any vulnerabilities addressed.<br><br>(ii) In the case of new applications, security testing should be prior to implementation, or with Live applications, as soon as is practical.<br><br>(Low Risk) | (i) A review involving ICT Security Officer and Procurement to identify an approach to ensure web applications are appropriately security checked.<br><br>(ii) This will be led by operational ICT with support from Procurement and the ICT Security Officer as appropriate. | ▶ | 33% | 30-Nov-2016 | 30-Nov-2016 | Patricia Kerr | May 16. First of the 3 milestones are completed. |
| 2. Contract Review<br>The Council should continue to review the contracts it has in place where cloud based services are used. The review should focus on the identification of risks as well as the timeliness and effectiveness of any response.<br><br>(Low Risk) | This will be led by the ICT Security Officer, with support from Operational ICT, Procurement and Legal as appropriate. | ▶ | 0% | 31-Mar-2017 | 31-Mar-2017 | Iain Kerr | There are 5 milestones associated with this action |
| 3. Identify, Categorise and Risk Assess information being collected<br>The Council's web pages, particularly the on line forms component, has the capacity to either store information gathered internally or in the cloud. As forms are | ICT will develop and implement a risk assessment process for all new forms.<br><br>A programme to review existing forms and implement changes where needed will be | ▶ | 0% | 31-Mar-2017 | 31-Mar-2017 | James Gallacher | |

| Recommendation | Agreed Action | Status | Progress Bar | Original Due Date of Action | Actual Due Date of Action | Assigned To | Note |
|---|---|---|---|---|---|---|---|
| introduced, a risk assessment should be conducted to determine the sensitivity of the information and where it should be directed.<br><br>(Medium Risk) | carried out. | | | | | | |
| 4. Review User Access permissions<br>Management should review access controls to determine if it's possible to implement a 2nd factor of authentication or other means of tightening.<br><br>(Medium Risk) | The software vendor will be approached to determine if the introduction of additional security measures, such as a 2nd authentication factor for Admins is possible with potential implementation costed. | ▶ | 0% | 31-Oct-2016 | 31-Oct-2016 | Jonathan Muir | |
| 5. Customer interaction with Web Pages<br>Web pages should be reviewed where customers can generate a contact with the Council, introducing a secondary authentication method so as to avoid the pages being used to generate Spam or otherwise used to initiate an attack.<br><br>(Low Risk) | Techniques on how to implement mitigating measures will be investigated with a view to introducing. | ▶ | 0% | 31-Mar-2017 | 31-Mar-2017 | Jonathan Muir | |

# Appendix B
# Internal Audit Reports (Previously Issued)

**Generated on:** 01 June 2016

West
**Dunbartonshire**
C O U N C I L

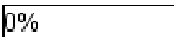| | Action Status |
|---|---|
| ✖ | Cancelled |
| ● | Overdue; Neglected |
| ▲ | Unassigned; Check Progress |
| ▶ | Not Started; In Progress; Assigned |
| ✔ | Completed |

**Project** 88. Validation and Monitoring Of Projected Savings (Report Issued November 2015)

| Recommendation | Agreed Action | Status | Progress Bar | Original Due Date of Action | Actual Due Date of Action | Assigned To | Note |
|---|---|---|---|---|---|---|---|
| 2. Efficiency Statement Savings Departments need to be able to produce statistics that confirm savings are efficiencies and not reductions in service. (Low Risk) | Further evidence of efficiencies (rather than reductions in service) will be requested from departments, prior to including within the statistics in future Efficiency Statements. | ▶ | 0% | 30-Sep-2016 | 30-Sep-2016 | Gillian McNeilly | Two milestones, first one is due completed in June 2016 following receipt of the Scottish Government Guidance |
| 3. Efficiency Statement Savings The information provided to support items in the efficiency statement needs to be of an auditable standard. (Low Risk) | Departments will be asked to ensure that information provided to support items in the efficiency statement is of an auditable standard. | ▶ | 0% | 30-Jun-2016 | 30-Jun-2016 | Gillian McNeilly | Two milestones, both due completed in June 2016 following receipt of the Scottish Government Guidance |

**Project** 89. Construction Industry Scheme (Report Issued January 2016)

| Recommendation | Agreed Action | Status | Progress Bar | Original Due Date of Action | Actual Due Date of Action | Assigned To | Note |
|---|---|---|---|---|---|---|---|
| 5. Sub-Contractor List<br>It is recommended that the sub-contractor list be revoked entirely and a reminder is sent to all teams that the sub-contractor list should not be used to determine whether work should be CIS or not. Departments should also be reminded that the status of a sub-contractor (i.e. net or gross) should not affect their treatment of an invoice and a split between labour and materials should always be provided.<br><br>(Medium Risk) | Agreed that the departments shouldn't be using the subcontractor list. The best practice guide will highlight that the sub-contractor list shouldn't be used.<br>A sub-contractor list will be kept by management in the Admin Support Unit, Creditors and Finance to enable WDC to perform its obligations of re-verifying a sub-contractors status with HMRC if they haven't been used in 24 months. | ▶ | 66% | 31-May-2016 | 30-Jun-2016 | George Hawthorn; Stella Kinloch | A sub contractor list is maintained by ASU, Creditors and Finance.<br><br>This action has three milestones, two of which are complete. |

**Project** 90. Review of Key Reconciliations (Report Issued February 2016)

| Recommendation | Agreed Action | Status | Progress Bar | Original Due Date of Action | Actual Due Date of Action | Assigned To | Note |
|---|---|---|---|---|---|---|---|
| 3. Written Procedures<br>Procedures should be written for all of the reconciliations with a full explanation of how they should be completed.<br><br>(Low Risk) | The existing procedures manuals will be reviewed and updated to ensure the correct details are documented for all reconciliations. | ▶ | 0% | 31-Dec-2016 | 31-Dec-2016 | Karen Shannon | Procedures manuals will be reviewed and updated on an ongoing basis for all reconciliations. |

## Project 91. Treasury Management (Report Issued February 2016)

| Recommendation | Agreed Action | Status | Progress Bar | Original Due Date of Action | Actual Due Date of Action | Assigned To | Note |
|---|---|---|---|---|---|---|---|
| 4. Anti-Money Laundering Procedures<br>It is recommended that WDC's anti-money laundering procedures to be developed covering the 3 main requirements of the legislation: Maintain client identification procedures in certain circumstances; Implement a procedure to enable the reporting of suspicions of money laundering; Maintain record keeping procedures.<br><br>(Medium Risk) | A policy will be developed. | ▶ | 0% | 30-Sep-2016 | 30-Sep-2016 | Gillian McNeilly | Draft Policy had been written, review work to be completed prior to final approved.<br><br>This action has two milestones. |

## Project 92. Internet and Email Controls (Report Issued February 2016)

| Recommendation | Agreed Action | Status | Progress Bar | Original Due Date of Action | Actual Due Date of Action | Assigned To | Note |
|---|---|---|---|---|---|---|---|
| 4. Staff Awareness<br>Awareness sessions which highlight the increased risk of web facing services for Administrators and key system users should take place regularly. The use of 3rd party software to raise awareness of phishing exercises to staff should be considered.<br><br>(Medium Risk) | In addition to awareness sessions already delivered to relevant staff, a systematic review of these sessions is underway to address new and emerging threats, and will be re-enforced regularly. | ▶ | 50% | 30-Sep-2016 | 30-Sep-2016 | Michael Butler; Iain Kerr | Awareness sessions already delivered to approx. 55% of staff accessing systems, however, refreshers will be delivered to key system users in keeping with this audit item, action is on track with two of four milestones complete. |

**Project** 93. Senior Officer Financial Controls (Report Issued February 2016)

| Recommendation | Agreed Action | Status | Progress Bar | Original Due Date of Action | Actual Due Date of Action | Assigned To | Note |
|---|---|---|---|---|---|---|---|
| 1. Additional Purchase Card Approvers<br>An amendment form for the Purchase Cards should be developed. If an update to the approvers is required this form should be used and signed off by an appropriate member of staff and a record.<br><br>(Medium Risk) | Creditors Online Form will be developed to have requests for additional approvers signed off and copies held for future reference. | ▶ | 0% | 30-Jun-2016 | 30-Jun-2016 | Stella Kinloch | Initial form developed and is undergoing testing |
| 5. Use of Purchase Cards<br>Senior Officers should be reminded that Purchase Cards are a preferred payment method by WDC to improve efficiency and if suitable Senior Officers should be encouraged to apply for a Purchase Card to ensure that they are sending the right message to staff of the Council's preferred payment method for relatively low value transactions.<br><br>(Low Risk) | Corporate Purchase cards are being promoted with the help of Corporate Procurement as the ideal means of paying for goods and services as these reduce the volume of invoices and increase the commission WDC receives. This is also a key area that is being explored as part of the P2P project. Creditors already look at areas where is large spend and significant invoices and where feasible recommend the use of CPC. Creditors have also highlighted the benefits to all senior managers via the Creditors Best practice guide which was recently issued in May 2015. Creditors will send out a further | ▶ | 50% | 30-Jun-2016 | 30-Jun-2016 | Derek McLean | Action on track. P2P project is creating a publicity poster and PC wallpaper communication to promote the uptake of purchase cards. In addition, the new supplier Achieve form makes the use of purchase cards for low value purchases more explicit. The creditors team have issued a CMT update and also issued the creditors best practice guide for wider circulation. The P2P project is also targeting high value spend supplier to agree to being paid by purchase card, which will encourage more staff in the council to take a purchase card so they can continue to order required goods and services. |

| Recommendation | Agreed Action | Status | Progress Bar | Original Due Date of Action | Actual Due Date of Action | Assigned To | Note |
|---|---|---|---|---|---|---|---|
| | communication highlighting the benefits of CPC and encourage users to use CPC where feasible | | | | | | |
| 6. Maintenance of spending and authorising limits in Comino<br>When setting up a new Purchase Card or amending an existing Card a cross check should be made within Comino by Creditors to ensure limits are consistent. If an Officer doesn't have any details in Comino these should be set up before a purchase card is issued.<br><br>(Low Risk) | Creditors is in the process of developing an achieve form which will have a link to authorised signatures. This will enable approvers to know their authorised limits. This will be in operation before the new financial year.<br><br>At the end of each financial year Creditors issues the services with the latest version of the authorised signatory list for review there should be an additional check for any discrepancy, should there be one. Creditors have communicated to all services the importance of keeping us updated on any changes to the authorised signatory list | ▶ | 50% | 30-Jun-2016 | 30-Jun-2016 | Stella Kinloch | New Council Structure now integrated with authorised signatory list for submission to Strategic Leads. |
| 7. Register of Interests<br>Management should consider whether a register of interests for employees is developed and maintained.<br><br>(Low Risk) | Options around the creation of a register of interests for employees will be reviewed and reported to CMT for consideration. | ▶ | 33% | 31-Mar-2017 | 31-Mar-2017 | Peter Hessett; Stephen West | Options considered and it has been agreed that a central register will be created.<br><br>This action has three milestones, one of which has been completed. |

# Appendix C
# External Audit Reports

West Dunbartonshire COUNCIL

**Generated on:** 01 June 2016

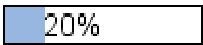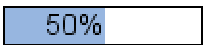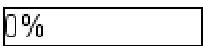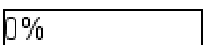| **Project** 15. Annual Report on the 2012/13 Audit |
| --- |

| Risk Identified | Action Status Progress Bar | Original Due Date of Action | Actual Due Date of Action | Sub-Action Code | Planned Management Action | Sub-Action Progress Bar | Sub-Action Status Icon | Sub-Action Due Date | Sub-Action Assigned To | Sub-Action Latest Note |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **4. Financial Pressure**: The Council currently has an assumed cumulative funding gap of £21.68 million over the period 2013/14 - 2016/17 and continues to face an increase in demand for services due to the current economic climate and changes in demography.<br><br>**Risk: The Council may not be able to generate efficiencies and savings to bridge the funding gap.** | 87% | 31-Aug-2016 | 31-Aug-2016 | CS/EAAP/117a | The Long Term Financial Strategy going to Council on 30 October 2013 asks CMT to identify efficiencies for forward planning to meet the anticipated gap. | 100% | ✔ | 30-Oct-2013 | Stephen West | Updated Long Term Financial Strategy provided to and agreed by Council on 30 October 2013. |
| | | | | CS/EAAP/117b | Updates of the Long Term Financial Strategy will be presented to Council on at least an annual basis to update the projections as new information becomes available. | 75% | ▶ | 31-Aug-2016 | Stephen West | Three milestones have been completed. The remaining milestone is to complete the annual update of the long term finance strategy in 2016/17. |

| Project 19. Annual Audit Report on the 2014/15 audit |
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| Recommendation | Agreed Action | Status | Progress Bar | Original Due Date of Action | Actual Due Date of Action | Assigned To | Note |
|---|---|---|---|---|---|---|---|
| 2. Financial Planning<br><br>The council currently has an estimated cumulative funding gap of £6.80 million over the period 2015/16 - 2017/18 and continues to face an increase in demand for services due to the current economic climate and changes in demographics.<br><br>Risk:<br>The council may not be able to generate sufficient efficiencies and savings to bridge the funding gap.<br><br>Recommendation: The council should continue to keep its long term financial strategy under review and progress its intention to roll out priority based budgeting. | The council recently agreed an update to the long term finance strategy and updates will be provided to Members at least annually.<br><br>The intended roll out of priority based budgeting is planned to be implemented to inform the budget process for 2017/18 onwards. | ▶ | 50% | 10-Mar-2018 | 10-Mar-2018 | Gillian McNeilly; Stephen West | The budget for 2016/17 and indicative budgets for 2017/18 and 2018/19 were agreed by Council on 24February 2016. An update on the long term financial strategy will be reported to Members post-Summer 2016. Priority Based Budgeting is currently under further discussion at the Performance and Monitoring Review Group |

# Local Scrutiny Plan 2016/17

## 1. Housing and Homelessness

| Code & Title | Status Icon | Progress Bar | Due Date | Latest Note | Ownership Assigned To |
|---|---|---|---|---|---|
| H&E/2016/HDH/04 Carry out comprehensive Tenant Satisfaction Survey to inform service delivery and improve satisfaction levels | | 20% | 30-Sep-2016 | On track. | John Kerr 2 |
| H&E/2016/HDH/08 Carry out detailed analysis and develop and implement interventions aimed at reducing level of repeat homelessness | | 50% | 31-Dec-2016 | Action on track - Targetted approach and strengthening of management arrangements has seen an early reduction in repeat homeless levels (11% reduction), this will continue to be monitored on a monthly basis. | John Kerr 2 |
| H&E/2016/HDH/09 Identify and resolve weaknesses in relation to reporting the provision of temporary accommodation | | 100% | 31-May-2016 | Action completed - Analysis identified areas for improvement which were introduced at once, this has had a positive impact on customer service and the provision of temporary accommodation to the most vulnerable members of our communities. | John Kerr 2 |
| H&E/2016/HO/01 Implement Rent Collection Action Plan and improve performance around rent arrears | | 0% | 31-Mar-2017 | On track. | Andy Cameron |
| H&E/2016/HO/02 Reduce the average number of days to carry-out non-emergency repairs | | 0% | 31-Mar-2017 | On track. | Martin Feeney |

## 2. Staff Absence

| Code & Title | Status Icon | Progress Bar | Due Date | Latest Note | Ownership Assigned To |
|---|---|---|---|---|---|
| PT/16-17/HR/001 Develop innovative strategies and best practice to support employee attendance and reduce absence | ▶ | 16% | 31-Mar-2017 | The Attendance Working Group continues to formulate new initiatives. Current actions underway are: Bereavement Leave Scheme, Promotion of Flexible Working for fathers, improved stress reporting, Disability masterclasses, use of e-cigarettes as cessation tool, promotion of personal days. | Tracy Keenan |

## 3. Efficiency

| Code & Title | Status Icon | Progress Bar | Due Date | Latest Note | Ownership Assigned To |
|---|---|---|---|---|---|
| CS/EAAP/152 2. Financial Planning - update to the long term financial strategy and provide update to members regularly (2016/17 and 2017/18) | ▶ | 50% | 10-Mar-2018 | The budget for 2016/17 and indicative budgets for 2017/18 and 2018/19 were agreed by Council on 24February 2016. An update on the long term financial strategy will be reported to Members post-Summer 2016. Priority Based Budgeting is currently under further discussion at the Performance and Monitoring Review Group | Gillian McNeilly; Stephen West |
| FAR/16-17/01 Review and update the Council's long-term finance strategy and report to Elected Members | ▶ | 0% | 31-Oct-2016 | The update to the long term financial strategy is due to be reported to Council in October 2016. | Gillian McNeilly |
| FAR/16-17/02 Monitor monthly agreed savings options & management adjustments through the budgetary control process | ▶ | 0% | 31-Mar-2017 | The savings agreed will be monitored by the Performance and Monitoring Review Group monthly from period 3, with reports being submitted to Council meetings. | Gillian McNeilly |
| FAR/16-17/03 Monitoring of progress through the CMT of strategic projects planned for review during 2016/17, for report to future Council/committees with a view to increasing income / reducing costs for the Council | ▶ | 15% | 31-Mar-2017 | The strategic projects will be monitored by the Performance and Monitoring Review Group monthly. | Gillian McNeilly |
| FAR/16-17/04 Prepare and deliver short, medium and long | ▶ | 0% | 31-Mar-2017 | The draft budget 2017/18 is due to be reported to Council in October 2016. | Gillian McNeilly |

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|---|---|---|---|---|---|
| term budgets through robust financial planning which reflect the Council's (& other bodies) corporate aims and objectives | | | | | |

## 4. Delivery of Education

| Code & Title | Status Icon | Progress Bar | Due Date | Latest Note | Ownership Assigned To |
|---|---|---|---|---|---|
| E/12-17/LSP/301 Monthly quality assurance meetings with Education Scotland Area Lead Officer to review educational provision. | ▶ | 25% | 31-Mar-2017 | The first of the four formal meetings of the year with Area Lead Officer, Marion Burns, has taken place. | Laura Mason |

| Action Status | |
|---|---|
| ✖ | Cancelled |
| ⬤ | Overdue; Neglected |
| ⚠ | Unassigned; Check Progress |
| ▶ | Not Started; In Progress; Assigned |
| ✓ | Completed |